

Application to Participate in FpVTE 2003

1. Who Should Participate

- 1.1. Makers of commercially available fingerprint matching, verification, or identification systems are invited to participate in the Fingerprint Vendor Technology Evaluation 2003.
- 1.2. In addition, companies, research organizations, or universities that have developed mature prototype or research fingerprint matching, verification, or identification systems are invited to participate.
- 1.3. Anonymous participation will not be permitted.

2. Evaluation Overview

- 2.1. The FpVTE 2003 evaluations will take place at the National Institute of Standards and Technology (NIST), in Gaithersburg, Maryland during September – December, 2003.
- 2.2. FpVTE 2003 will consist of three Tests, the Small-, Medium-, and Large-Scale Tests (SST, MST, and LST). The SST is a subset of the MST. LST participants are strongly encouraged to take the MST.
- 2.3. The SST and MST will evaluate matching of *individual* fingerprint images. This contrasts with the large-scale test (LST), which will evaluate matching of *sets* of fingerprint images.
- 2.4. The processing capacity of a Participant's system will dictate for which of the three Tests the system is qualified.
- 2.5. The SST and MST will require running continuously (24 hours per day) over a period of approximately two weeks with no substantial user/operator intervention.
- 2.6. The LST will require running continuously (24 hours per day) over a period of approximately three weeks with no substantial user/operator intervention.

3. Evaluation Procedure

- 3.1. In order to request participation in FpVTE 2003, potential participants must electronically fill out this form (*Application to Participate in FpVTE 2003*) identifying the Responsible Party and the Point of Contact, print and sign the form, and send to the location designated below.
 - The Responsible Party is an individual with the authority to commit the organization to the terms in this document.
 - The Point of Contact is an individual with detailed knowledge of the system to be considered for evaluation.
- 3.2. Upon receipt of the original signed form by the Government, the organization will be classified as a "Tentative Participant". The Government must receive the form by the due date described in the FpVTE 2003 Calendar, as posted on the FpVTE 2003 website at <http://fpvte.nist.gov/>

- 3.3. The FpVTE 2003 website at <http://fpvte.nist.gov/> will contain a public area accessible by all, and a restricted Participant Area. Tentative Participants and Participants will be granted access to the Participant Area of the FpVTE 2003 website.
- 3.4. In order to become Participants, Tentative Participants must meet the following requirements.
 - 3.4.a. Tentative Participants must respond to the *System Throughput Questionnaire*, answering questions about system purpose, capacity and speed. A Participant's responses to the Throughput Questionnaire will be used by FpVTE personnel to appropriately size the subtests, and to determine in which FpVTE Subtest the Participant's system may participate. The *System Throughput Questionnaire* will be available on the Participant Area of the FpVTE website.
 - 3.4.b. Tentative Participants must successfully produce similarity files according to defined formats. FpVTE 2003 Sample Datasets and Software will be made available in the Participant Area of the FpVTE 2003 website, or via other suitable manner. Tentative Participants will be required to perform trials using this sample set, at their own facilities, and provide similarity files to the Government. The Government will check these similarity files for compliance. The deadline for delivery of these similarity files will be provided on the website. Should the submitted similarity files not comply with standards, the Government will notify Participants and may allow re-submission of new similarity files to ensure compliance.
 - 3.4.c. Tentative Participants must be selected by the Government to become FpVTE 2003 Participants. It is the Government's intention and desire to select all Tentative Participants as Participants. However, if demand for participation exceeds the Government's ability to properly evaluate the technology, the Government will be required to select Participants from the Tentative Participant list. If this occurs, the Government will request all Tentative Participants to provide the Government with a white paper that will be used as the basis for selection as an FpVTE 2003 Participant. The Government will provide Tentative Participants with the format and requirements for this white paper, if the need arises.
- 3.5. A list of Tentative Participants, and later, Participants will be made available in the Participant Area of the FpVTE 2003 website.
- 3.6. FpVTE personnel may allow an organization to enter more than one system in the evaluation if the organization provides a compelling reason, and if space is available. Organizations interested in having more than one system evaluated should still fill out one copy of this form (*Application to Participate in FpVTE 2003*), but one copy of the *System Throughput Questionnaire* for each system to be considered.
- 3.7. Evaluation dates will be provided at a later date. The Government will attempt to accommodate each Participant's needs on the determination of evaluation dates.

- 3.8. Participants will be required to submit a five-page (maximum)¹ system description document, in electronic form, on the first day of testing. These documents will be included in the final FpVTE 2003 report that will be released to the public. Failure to provide this document, in its proper form, may result in not being evaluated in FpVTE 2003. This document must adequately address the following topics:
- Overview of the evaluated system(s).
 - Component list for the evaluated system(s).
 - Detailed cost breakdown of the submitted system(s) (commercial vendors only).
 - Details of any modifications required to take FpVTE 2003.
- 3.9. FpVTE 2003 Participants will not be allowed to comment on their participation in FpVTE 2003 until the FpVTE 2003 Final Report is released.
- 3.10. Testing activities will be recorded using video cameras for documentation of the evaluations. Footage from this documentation will not be made available to the public without review and comment from any participant that is named in the video.
- 3.11. Systems being evaluated in FpVTE 2003 shall not be accessible from outside the room in which the evaluation is being conducted. Modem, Internet, or wireless access is expressly prohibited.
- 3.12. The FpVTE Evaluation is designed to test systems running continuously (24 hours per day) over the test period with no substantial user/operator intervention. Participants shall have very limited contact with their systems during the test: three minutes of supervised and videotaped direct operator access per hour will be permitted for system administration. Greater interaction with the systems during the test will only be permitted for system administration reasons by the express permission of the FpVTE Lead Test Agent, with the following restrictions:
- A written explanation for the need of system administration (such as a system crash) will be signed by the Participant and the FpVTE Lead Test Agent;
 - The explanation and the amount of time required will be included in the FpVTE 2003 Final Report;
 - All activity will be supervised by and explained to an FpVTE Test Agent;
 - All activity will be videotaped.
- 3.13. Failure to complete the test during the allotted time will be noted in the FpVTE 2003 Final Report. FpVTE personnel will decide, after conclusion of the test, if the partial test results will be reported in the FpVTE 2003 Final Report.

4. Points of Contact

- 4.1. All correspondence should be directed to fpvte@nist.gov, which will be received by the FpVTE Liaison and other FpVTE personnel.
- 4.2. All responses to correspondence will be posted on the FAQ (Frequently Asked Questions) area of the FpVTE website. Exceptions will be allowed only for extenuating circumstances. Two examples of exceptions are delivery of login information for the Participant Area of

¹ Two pages extra will be permitted for each additional system

the FpVTE website, and resolving Participant specific needs for the on-site portion of the evaluation.

- 4.3. Interested parties, Tentative Participants, and Participants should not contact any individual member of the FpVTE staff.
- 4.4. The FpVTE Liaison is the government point of contact for FpVTE 2003.
- 4.5. The FpVTE Lead Test Agent is the government proctor for the on-site portion of the evaluation.

5. Access to FpVTE 2003 Sample Datasets and Software

- 5.1. FpVTE 2003 Sample Datasets and Software are supplied to Participants to assist in preparing for FpVTE 2003. These will be made available to Participants in the FpVTE 2003 Participant Area or in an otherwise suitable manner.
- 5.2. The FpVTE 2003 Sample Datasets are representative of the FpVTE 2003 Evaluation Datasets in format. Image quality, collection device and other characteristics may vary between the Sample and Evaluation Datasets.
- 5.3. The FpVTE 2003 Sample Datasets and Software include:
 - SST/MST Sample Dataset
 - LST Sample Dataset
 - Scoring code to generate evaluation charts
 - Instructions on how to use the software tools
 - Documentation on similarity file output requirements for SST/MST, and LST
 - Instructions for submission of sample similarity files for Government review
- 5.4. The FpVTE 2003 Sample Datasets and Software shall not be further distributed, published, copied, or further disseminated in any way or form whatsoever, whether for profit or not. This includes further distributing, copying or disseminating to a different facility or organizational unit in the requesting university, organization, or company. All requests for copies of the FpVTE 2003 Sample Datasets and Software will be forwarded to the NIST FpVTE Liaison.
- 5.5. All publication or other release of any part of the FpVTE 2003 Sample Datasets and Software, or data derived from using the FpVTE 2003 Sample Datasets and Software, in reports, papers or other documents must first be approved in writing, by the NIST FpVTE Liaison.
- 5.6. Failure to observe the restrictions on use of the FpVTE 2003 Sample Datasets and Software will result in removal from FpVTE 2003. Offenders may also be subject to civil damages.

6. Access to FpVTE 2003 Evaluation Datasets

- 6.1. FpVTE 2003 Participants will be given the FpVTE Evaluation Datasets on the day they arrive for actual testing.
- 6.2. To the extent permitted by law, the FpVTE 2003 Evaluation Datasets will be protected under the Freedom of Information Act (5 U.S.C 552) and the Privacy Act (5 U.S.C. 552a) as applicable.

- 6.3. The FpVTE 2003 Evaluation Datasets will bear the legend “Notice: May contain Privacy Act or FOIA Protected Information.”
- 6.4. FpVTE 2003 Evaluation Datasets and data derived from the datasets shall not be retained in any way or form whatsoever by Participants after completion of the Evaluation.
- 6.5. FpVTE 2003 Evaluation Datasets and data derived from the datasets shall not be distributed, published, copied, or disseminated in any way or form whatsoever by Participants.
- 6.6. Participants shall track all copies of the FpVTE 2003 Evaluation Datasets and return or destroy all copies at the end of the test, prior to leaving NIST.
- 6.7. The FpVTE Evaluation Datasets will be provided on a Universal Serial Bus (USB) Hard Drive. This will be an IDE hard drive, formatted either NTFS or EXT3 (as requested by the Participant), with one partition, in an external enclosure connected to host computer via a USB port (compatible with both USB 1.0 and USB 2.0). If required, a separate laptop may be used to facilitate transfer to and from the USB hard drive.
- 6.8. At the completion of the test the Participants will transfer all the required output files from their system onto the original USB hard drive. The USB drive will then be returned to the Government.
- 6.9. The Government will assure that none of the FpVTE fingerprints, or data derived from the fingerprints, are still resident on the test computer after the completion of the test. Participants will allow the Government to inspect all disks on the system to verify compliance. This inspection will involve, at a minimum, the Government deleting files generated during testing and wiping free space on all disk drives. The Government may choose to remove all files or format all disks, including system disks.
- 6.10. It is recommended that Participants use separate drives or drive partitions for working space, including database management system (DBMS) data. This is so the areas for the operating system (OS) and fingerprint algorithms are clearly separated from the areas for working space. At the completion of the test, the participant, under supervision, will perform a low-level format on the working space partition of their hard drive. If the working space is not clearly separated by drive or partition, all drives will be formatted. The Government will inspect all disks on the system to verify compliance.
- 6.11. Failure to observe the restrictions on use of the FpVTE 2003 Evaluation Datasets is a violation of Federal law. Offenders will be subject to criminal penalties.

7. Release of Evaluation Results

- 7.1. After the completion of the evaluations, the Government will combine all results into a Final Report. The FpVTE 2003 Final Report will contain, at a minimum, descriptive information concerning FpVTE 2003, descriptions of each experiment, evaluation results, and each Participant’s five-page system description document.
- 7.2. A pre-release version of the FpVTE 2003 Final Report will be made available to Participants. Participants will be invited to provide comments which will be included as an appendix to the FpVTE 2003 Final Report. More specific guidance concerning the report and Participant comments will be provided at a later date.

- 7.3. Participants shall not comment publicly or privately on the pre-release version of the FpVTE 2003 Final Report until it has been released to the public.
- 7.4. After the release of the FpVTE 2003 Final Report, Participants may decide to use results of these evaluations for their own purposes. Such results shall be accompanied by the following phrase: "Results shown from the Fingerprint Vendor Technology Evaluation 2003 do not constitute endorsement of any particular system by the Government." Such results shall also be accompanied by an Internet hyperlink (URL) to the FpVTE 2003 Final Report on the FpVTE 2003 website.

8. Additional Information

- 8.1. Any data obtained during these evaluations, as well as any documentation required by the Government from the participants, becomes the property of the Government. Participants will not possess a proprietary interest in the data and/or submitted documentation.
- 8.2. With the signing of this form, Tentative Participants and Participants attest that they will not file any FpVTE-related claim against FpVTE 2003 Sponsors, Supporters, staff, contractors, or agency of the U.S. Government, or otherwise seek compensation for any equipment, materials, supplies, information, travel, labor and/or other participant provided services.
- 8.3. The Government is not bound or obligated to follow any recommendations that may be submitted by the Participant. The United States Government, or any individual agency, is not bound, nor is it obligated, in any way to give any special consideration to FpVTE 2003 Participants on future contracts.
- 8.4. With the signing of this form, Tentative Participants and Participants realize that any test details and/or modifications that are provided in the Participant Area of the FpVTE 2003 website supersede the information on this form.
- 8.5. With the signing of this form, Tentative Participants and Participants realize that they can withdraw from the FpVTE 2003 evaluations at any time up to two weeks prior to the start of their testing, without their participation and withdrawal being documented in the FpVTE 2003 Evaluation Report. Withdrawals less than two weeks prior to the start of their testing will be documented in the FpVTE 2003 Evaluation Report.
- 8.6. Please mail the completed and signed form to:
FpVTE 2003 Liaison
National Institute of Standards and Technology
Information Access Division (894)
100 Bureau Drive, Stop 8940
Gaithersburg, MD 20899-8940

9. Request to Participate

Company / Organization Name

9.1. Responsible Party

Title	First Name	MI	Last Name	Suffix
Street/Mailing Address				
City			State	Zip Code
Phone Number	Fax Number		Email Address	

9.2. Point of Contact Check if same as Responsible Party above ☐

Title	First Name	MI	Last Name	Suffix
Street/Mailing Address				
City			State	Zip Code
Phone Number	Fax Number		Email Address	

With my signature, I hereby request consideration as a Tentative Participant and Participant in the Fingerprint Vendor Technology Evaluation 2003, and I am authorizing my company or organization to participate in FpVTE 2003 according to the rules and limitations listed in this document.

With my signature, I also state that I have the authority to accept the terms stated in this document.

SIGNATURE OF RESPONSIBLE PARTY

DATE